



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S):

Kutter

APPLICATION NO.:

09/921,298

FILING DATE:

August 1, 2001

TITLE:

Methods and Systems for Direct Execution of XML Documents

EXAMINER:

To Be Assigned

GROUP ART UNIT:

To Be Assigned

ATTY. DKT. NO.:

22358-04989

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated:

9/06/01

By: Lava May

Laura A. Majerus, Reg. No.: 33,417

COMMISSIONER FOR PATENTS WASHINGTON, DC. 20231

INFORMATION DISCLOSURE STATEMENT Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. A copy is enclosed herewith of each listed reference which may be material to the examination of this application, and with respect to which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior
application Serial No. [SERIAL NUMBER], filed on [FILING DATE], and the
references cited therein are hereby referenced, but are not required to be provided
in this application under 37 CFR § 1.98(d).

1

The Information Disclosure Statement submitted herewith is being filed: within three months of the filing date of the application, or date of entry 冈 into the national stage of an international application, or before the mailing date of a first official action on the merits, whichever event last occurred; OR before the mailing of a first official action after the filing of a request for \Box continued examination (RCE) under 37 CFR § 1.114; after three months of the filing date of this national application or the date П of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: a final action under 37 CFR §1.113; OR (1) (2) a notice of allowance under 37 CFR §1.311; AND \Box attached hereto is the fee of \$180, as set forth under 37 CFR §1.17(p), for submission of this Information Disclosure Statement under 37 CFR.§ 1.97(c); OR Applicant certifies pursuant to 37 CFR § 1.97(e) that: \Box each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement. OR before the payment of the issue fee but after the mailing date of the first to occur of either: [1] a final action under 37 CFR § 1.113; OR a notice of allowance under 37 CFR § 1.311; AND [2] in accordance with the requirements of 37 CFR § 1.97(d): Applicant certifies pursuant to 37 CFR. § 1.97(e) that: П

2

22358/04989/1205230.1

		each item of information contained in this Information
		Disclosure Statement was cited in a communication from a
		foreign patent office in a counterpart foreign application not
		more than three months prior to the filing of this Statement;
		OR
		no item of information contained in this Information
		Disclosure Statement was cited in a communication from a
		foreign patent office in a counterpart foreign application or,
		to the knowledge of the person signing this certification
		after making reasonable inquiry, was known to any
		individual designated under 37 CFR § 1.56(c) more than
		three months prior to the filing of this Statement; AND
П	Applic	ant hereby respectfully petitions for the consideration of
		companying Information Disclosure Statement under 37 CFR
		(d)(2); AND
		eant submits the petition fee of \$180 as set forth in 37 CFR §
	1.17(p)	•
☐ Each item of		tion contained in this Information Disclosure Statement was
		eign patent office in a counterpart application, and the
		any individual designated in 37 CFR § 1.56(c) more than
		Information Disclosure Statement. 37 CFR § 1.704(d).
unity days prior to the imig	OI tillo I	momenton Biboloburo Statement. 37 CTTC § 1.70 (c).
	mits the	at no fee is required for the consideration of the
accompanying Information I		
accompanying information i	7130103U	To Statement.
Consideration of the	listed re	ferences and favorable action are solicited.
Consideration of the	115104 10	ioronoco una ravoracio action are senered.
		Respectfully submitted,
		KUTTER
Dated Cont AG	om I	Pro / Mas
Dated: Sept 06,	200	By: Laura May Laura A. Majerus, Reg. No.: 33,417
		Fenwick & West LLP
		Two Palo Alto Square
		Palo Alto, CA 94306
		Tel.: (650) 858-7152 Fax.: (650) 494-1417
		- water (000) 12 1 4 14 1

Approved for use through xx/xx/xx, OMB 0651-0031 Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE U.S. Department of Commerce 09/921,298 Application Number Patent and Trademark Office Filing Date August 1, 2001 TRANSMITTAL FORM First Named Inventor Kutter (to be used for all correspondence during pendency of Group Art Unit Number To Be Assigned filed application) **Examiner Name** To Be Assigned 22358-04989 Total Number of Pages in This Submission Attorney Docket Number **ENCLOSURES** (check all that apply) Fee Transmittal Form (in duplicate) Issue Fee Transmittal Check Enclosed Letter to Chief Draftsperson Return Receipt Postcard Formal Drawing(s): Response to Notice to File Missing Parts [] Sheet(s) of Figure(s) [] Assignment & Recordation Cover Sheet Appeal Communication to Board of Appeals and Interferences Declaration Appeal Communication to Group Power of Attorney (Appeal Notice, Brief, Reply Brief) Application Data Sheet Information Disclosure Statement & PTO-1449 Certified Copy of Priority Document(s) Copies of IDS Cited References After Allowance Communication to Group Request for Corrected Filing Receipt Request for Correction of Recorded Assignment Amendment/Response: [] Page(s) After Final Status Request

·····							
SIGNATURE OF ATTORNEY OR AGENT							
Signature:	Laura Majerus Laura A. Majerus/33,417						
Attorney/Reg. No.:	Laura A. Majerus/33,417 🗸	Dated	9/06/01				
	CERTIFICATE OF N	AILING					
first class mail in an env Mail Mailing Number is	correspondence, including the enclosures identified aborelope addressed to: Commissioner for Patents, Washing filled in below, then this correspondence is being deposit rvice pursuant to 37 CFR 1.10.	gton, D.C. 20231 on the date sho	wn below. If the Express				
Signature: Laura Myerus							
Typed or Printed Na	e: Laura A. Majerus		9/06/61				
Express Mail Mailing	Number (optional):		7				

REMARKS:

Revocation and Substitute Power of Attorney

		O ES O TO NOW NOW NOW NOW NOW NOW NOW NOW NOW NO						Observat	
			DEPARTMENT	MENT OF COMMERCE Attorney's Docket No.			Serial No.	Sheet _	_ <u>of</u>
(REV. 6-89) Patent and Trademark Of					22358-04989 09/921,298				
INF	ORIV	IATION DISCLOSU	IRE CITA	ATION	Applicant	Kui	tter		
	(Use several sheets if necessary)				Filing Date August 1, 2001 Group Art Uni To B			t e Assigned	
			U.S. P	ATENT DOC	UMENTS	*			
Examiner Initial		Document Number	Date		Name	Class	Subclass	Filing C	
			-						
		F	OREIGN	PATENT D	OCUMENTS			, 	
		Document Number Date			Country	Subclass	Translation		
								Yes	No
						-			
		OTHER DOCU	MENTS	Including Autho	r, Title, Date, Pertinen	t Pages, E	itc.)		
	Α	Ciancarini, P. et al., "Al							
	В	ISDN Systems, NL, North Holland Publishing, Amsterdam, vol. 30, no. 1-7, 1 April 1998, pp. 225-237 "OMG XML Metadata Interchange (XMI) Specification," <u>URL:http://citeseer.nj.nec.com/388952.html</u> June 2000						<u>ml</u>	
	С	Suzuki, J. et al. "Toward the Inoperable Software Design Models: Quartet of UML, XML, DOM and COBRA" Proceedings 4 th IEEE International Software Engineering Standards Symposium and Forum (ISESS '99) Best Software Practices for the Internet Age, Proceedings of IEEE Computer Society 4 th International Symposium and Forum on Software Engineering Stand, pp. 163-172, 1999							
	D							, North	
EXAMINER	-				CONSIDERED			-	

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered.

Include copy of this form with next communication to applicant.